

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAUFORM
SA-523ADUE
DATE ▸

1999 SERVICE ANNUAL SURVEY

Securities, Commodity Contracts, and Other Financial
Investments and Related Activities

NOTICE — Your report to the Census Bureau is confidential by law (Title 13, U.S. Code). It may be seen only by sworn Census employees and may be used only for statistical purposes. The law also provides that copies retained in your files are immune from legal process.

RETURN COMPLETED FORM TO

U.S. CENSUS BUREAU
1201 East 10th Street
Jeffersonville, IN 47132-0001Any questions call
1-800-772-7851 weekdays,
8:30 a.m. to 5:00 p.m. EST137
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(Please correct any error in name, address, or ZIP Code)

YOUR RESPONSE IS REQUIRED BY LAW. Title 13, U.S. Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the Census Bureau.

Item 1 SURVEY COVERAGE

This report covers all domestic locations operated by your company and its subsidiaries primarily engaged in acting as principals (i.e., investors who buy or sell for their own account) in buying or selling spot or future commodity contracts or options, such as precious metals, foreign currency, oil, or agricultural products, generally on a spread basis.

Does the above coverage describe this firm's
business activity?0001 1 ☐ Yes – Continue with Item 32 ☐ No – Specify your business activity and continue with Item 3 ▸

0002

Item 2 NOT APPLICABLE TO THIS FORM

Item 3 REPORT PERIOD

Mark (X) the one box which best describes
the period covered by your report.0006 1 ☐ Calendar year – Go to Item 4AIf the data reported are for a period other
than the "calendar year," please enter the
beginning and ending dates.2 ☐ Fiscal year3 ☐ Less than 12 months } →

From

To

1999

1998

Month

Day

Year

Month

Day

Year

0007

0057

0008

0058

Item 4A REVENUE

Estimates are acceptable if book figures are not available.

Include interest, dividends, royalties, net realized capital gains (losses); commissions and fees from all sources, including fees earned from exchanging currencies, selling money orders, and cashing checks; and net gains (losses) from the sale of real estate property owned by a firm for investment, rent, or lease (NOT gross sales).

Total Revenue _____

Please refer to the enclosed instructions before making your entries.

Key code	1999				Key code	1998			
	Bil.	Mil.	Thou.	Dol.		Bil.	Mil.	Thou.	Dol.
002					052				
Key code	1999				Key code	1998			
	Bil.	Mil.	Thou.	Dol.		Bil.	Mil.	Thou.	Dol.
500					550				
501					551				
502					552				
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504					554				
505					555				
506					556				
507					557				
508					558				
509					559				
510					560				
511					561				
006					056				

Item 4B SOURCES OF REVENUE

Report sources of revenue for this company as whole dollar figures. Do not combine data for two or more lines. The total (line 10) should equal Item 4A – Total Revenue, as reported above.

1. Commissions from the sale of securities (including investment company securities) and commodities
2. Net gains (losses) in trading accounts in securities and commodities:
 - a. Net interest income from trading accounts in securities
 - b. Net gains (losses) from trading accounts in securities
 - c. Net gains (losses) in trading accounts in commodities
3. Net gains (losses) from underwriting and selling groups of securities:
 - a. MBS, CMO, and REMIC transactions
 - b. All other securities transactions
4. Net gains (losses) on investment accounts (Note: Report interest income from investment accounts on line 6)
5. Dividend income
6. Margin interest and other interest income, including REPO
7. Other investment income (net); (e.g., income from partnership(s), loans, notes, mortgages, equipment and facilities, goodwill [net of accumulated amortization], real estate, and other assets).
8. Asset/portfolio management fees, 12b-1 fees, including investment advisory fees where investment decisions are made for clients; fees from investment consulting and advice (no investment management for clients); merger/acquisition fees; private placement fees; etc. Report other consulting and advice on line 9.
9. Other revenue including income from fiduciary (trust, custody, and escrow) activities, royalties, insurance and annuity commissions, and any other revenue source(s) — *If other revenue is greater than 20% of total revenue, please specify* 1001
10. Total (Should equal Item 4A above)

Item 4C EXPORTS

Estimates are acceptable if book figures are not available.

Note — An exported service is a service performed for a customer or client (individual, government, business establishment, etc.) located outside the United States (i.e., outside the 50 states, District of Columbia, U.S. Commonwealth Territories, or U.S. possessions). Services performed for unaffiliated and affiliated foreign firms (i.e., foreign parent firms, subsidiaries, branches, etc.) are included. Exclude services provided to domestic subsidiaries of foreign firms.

Did the revenue reported in Item 4A include any amounts received for exported services or products?

0009

1 ☐ Yes

2 ☐ No

Key code	1999				Key code	1998			
	Bil.	Mil.	Thou.	Dol.		Bil.	Mil.	Thou.	Dol.
004					054				

Item 4D E-COMMERCE RECEIPTS/REVENUE

(E-commerce receipts/revenue are sales of goods and services over an Internet, extranet, EDI, or other online system. Payment may or may not be made on-line.)

Estimates are acceptable if book figures are not available.

1. Did your firm have e-commerce receipts/revenue during 1999 and/or 1998?

0010

Month (i.e., June=06)

Year (i.e., 1999=99)

- 1 ☐ Yes — Enter the date your firm began e-commerce sales.
- 2 ☐ No — Continue to Item 5.

2. What were your firm's e-commerce receipts/revenue for 1999 and 1998? (Include e-commerce receipts/revenue in Item 4A. Exclude sales taxes.)

Key code	1999				Key code	1998			
	Bil.	Mil.	Thou.	Dol.		Bil.	Mil.	Thou.	Dol.
005					055				

Item 5		NUMBER OF LOCATIONS				1999 Number		1998 Number									
						0012		0062									
		Enter the total number of service locations covered by this report as of December 31, 1999 and 1998.															
Item 6		OWNERSHIP OR CONTROL				0014		Name of owning or controlling company									
a. Does another firm own more than 50 percent of the voting stock or have the power to control the management and policies of this company?				Number and street													
				City, State, and ZIP Code													
0013 1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No						0015		EIN									
								-									
b. Did this firm acquire or merge with another company during 1999 or 1998?				0017				Name of company acquired or merged with									
				Number and street													
				City, State, and ZIP Code													
0016 1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No				Date of merger or acquisition		0018		Month		Year		0019		EIN			
														-			
Item 7		REMARKS – Please use this space for any explanations that may be helpful in understanding your reported data. For any separate correspondence pertaining to this report, please include the IDENTIFICATION number shown in the address label area or at the top of the page.															
0027																	
Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Associate Director for Finance and Administration; Attn: Paperwork Reduction Project; U.S. Census Bureau; Room 3104, FB 3; Washington, DC 20233-0001. PLEASE INCLUDE FORM NAME AND NUMBER IN ALL CORRESPONDENCE. Respondents are not required to respond to any information collection unless it displays a valid approval number from the Office of Management and Budget. This 8-digit number appears in the top right corner on the front of this form.																	
Item 8		CERTIFICATION – This report is substantially accurate and has been prepared in accordance with instructions.															
0020		Name of person completing this report – Please print				0021		Address (Number and street, city, State, ZIP Code)				0022		Telephone			
												Area code		Number		Extension	
		Signature of authorized person										0023		Fax			
												Area code		Number		Extension	
0024		Title				0025		Date				0026		E-mail address			
Please return the completed form in the enclosed envelope. If you prefer, you may fax the completed form to 1-800-447-4613.																	

SERVICE ANNUAL SURVEY

SECURITIES, COMMODITY CONTRACTS, AND OTHER FINANCIAL INVESTMENTS

GENERAL INSTRUCTIONS

Your report should be completed and returned in the preaddressed envelope provided on or before the due date. If the report does not appear to apply to your kind of business or activity, describe your business or activity in item 1 and complete the remainder of the form as accurately as possible.

If filing within the required time frame will cause an undue burden and you would like an extension, or if you have any questions, please write to the

U.S. Census Bureau
1201 East 10th Street
Jeffersonville, IN 47132-0001

or call our Census Bureau representative in Jeffersonville, Indiana at 1-800-772-7851, weekdays from 8:30 a.m. to 5:00 p.m., eastern time.

Always include your identification number, located in the address label, in any correspondence.

IF BOOK FIGURES ARE NOT AVAILABLE,
ESTIMATES ARE ACCEPTABLE.

Please read all instructions before making your entries.

Report data for the calendar year(s) specified. If calendar year records are not available, we will accept fiscal year data. Please note, however, that we prefer estimates for the calendar year to book figures covering a different time period. Report all values in dollars (omit cents). Enter "0" in items where appropriate. Please do not combine data for two or more revenue lines.

For location(s) sold or acquired during the year(s) specified, report only for the period that the location(s) were operated by this firm.

SPECIFIC INSTRUCTIONS

All Firms

Revenue

Report revenue for all services rendered and any sales of merchandise for the calendar year(s) specified, even though payment may have been received at a later date. Firms operating on a commission basis should report commissions, fees, and other operating income, not gross billings or sales.

Include –

- Total value of service contracts.
- Amounts received for work subcontracted to others.
- Market value of compensation in lieu of cash.
- Revenue from services performed by domestic locations for FOREIGN parent firms, subsidiaries, branches, etc.
- Dues and assessments from members and affiliates.
- Income from investments, sales of company-owned real estate (land and building) or other assets, (except inventory held for resale), securities, gifts loans, contributions, royalties or grants.
- Interest earned from sales, rent or lease under capital, finance, or full-payout leases.
- Net realized gains as well as (losses) within specified area(s) of activity

Exclude –

- Taxes (sales, amusement, occupancy, use, or other) collected directly from customers or clients and paid directly to a local, State, or Federal tax agency.
- Revenue from a domestic parent organization, or from franchise locations owned by others and any franchise or license fees.
- Rents from and revenue of separately operated departments, concessions, etc., which are leased to others.
- Commissions from vending machine operators.
- Revenue of foreign subsidiaries (those located outside the U.S., i.e., outside the 50 states, District of Columbia, U.S. Commonwealth Territories, or U.S. Possessions).
- Revenue from the sale of used equipment.

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